

## INSTRUCTIONS FOR CONTRACTOR EMPLOYEE FOR COMPLETING SOURCE FORM AUTOMATION (SFA)

### SYSTEM REQUIREMENTS

The SFA may be executed using any Windows 32-bit operating system (most home and library machines). This is a Windows 95 or later operating system. The SFA does not work on a Macintosh system.

### INSTALLING SFA

- Insert SFA diskette into "A" drive
- Click on "Start" Button (lower left hand corner of screen)
- Click on "Run"
- Type in "A:"
- Click on "OK"
- Double click on "SFA\_install.exe" (this should open your "Welcome to Source Form Automation Setup" page)
- Read and click on "Next"
- Destination folder page, pick appropriate destination (or use default – C:/Temp), click "Next" to begin installation
- Program Manager Page – click "Next"
- Ready to Install – click "Next"
- Source Forms should be installing on your computer
- You should see a message "source form automation has been successfully installed", click "Finish".

**NOTE:** When you finish installing, the SFA window will automatically open.

- Remove diskette

### USING SFA

Requirements:

**IMPORTANT:** You must have a formatted, blank diskette inserted in your computer's A: drive before beginning.

To view and print the forms, you must have a word processor capable of reading and printing Rich Text Format files installed on the same computer on which you run this program. Any modern word processor is suitable, such as Microsoft Word 95 (or newer) or WordPerfect 7 (or newer).

You must also have a printer installed to print the forms. To complete this process you must print and sign the forms and return them to your point of contact.

Step 1: If you are just beginning to complete your form, click the "New" button or choose New from the File menu. NOTE: If you have already started and saved your form, insert the diskette you previously saved your form on, then click the "Open" button or choose "Open" from the File menu.

Step 2: Enter your Social Security Number (SSN). Re-enter it in the "Confirm SSN" field to guard against errors. Choose a password and enter it in the "Password" field. Re-enter your password in the "Confirm Password" field to guard against errors. Click the "OK" button.

Step 3: Click on the tabs Applicant, Record Release, Privacy Act, and Certification and enter the requested information. Your entries will be saved automatically. Detailed instructions for each of these tabs will be found by clicking on the appropriate portion of the tree to the left of these instructions.

NOTE: If you have no middle name, enter "NMN" in the "Middle Name" field.

Step 4: Choose the Standard Form you were instructed to complete by clicking on the bubble (white circle) next to the correct form number. If you enter information on the incorrect form, select the correct form, and the information will be moved to the correct form, you do not have to reenter that information.

Step 5: Each form you have chosen will have a corresponding button in the lower left portion of the window. Click on the highlighted button to go to that form. A new window will open to allow you to fill in the form.

Step 6: The left side of this new window lists all the sections of the form. Click on a section title to go to that section. You can also navigate through the sections by clicking the [ << ] button to move to the previous section or clicking the [ >> ] button to move to the next section of the form.

A separate window is provided for each form when you click on one of the form buttons in the lower left portion of the main SFA window.

In each form window you may perform all functions necessary to enter the requested data, including read, add, update, and delete.

All the sections of the form are displayed on the left side of the source form entry window. To navigate from one section of the form to another, click the section name on the left side of the window. The corresponding data entry screen will appear on the right side of the window.

Each Data-Entry section may provide the following buttons to the user:

**ADD button:** Click the Add button to open a data entry window, with fields for each required portion of information.

**ADD ANOTHER RECORD button:** Click the add another record button to open a data entry window when you have multiple entries for a particular section.

**OK button:** Click the OK button when you have completed all entries to this section.

**CANCEL button:** Click on the Cancel button to return to previous screen.

**EDIT button:** To edit existing information, click on the line of information, and then click the Edit button to open a data entry window containing the selected information. Change any portion of this data in this window.

**DELETE button:** To delete entered information, click on the line of information, and then click the Delete button.

**CLOSE:** Click the Close button to exit the form and save the entries you have made.

If you need to make changes later, the screen will present a listing of the data entered for that section of the form. You cannot directly edit the data from this screen. The screen allows you to:

Select Records:

- Select a record by clicking on it with the mouse, or use the keyboard's arrow keys. The selected line will appear highlighted.

Edit Records:

- You can edit data in a record by first selecting it, then clicking the Edit button to open the data entry window. Alternatively, you can double-click on the record you wish to edit, or you can select it then press the "E" key on the keyboard.
- You can also add records by clicking the Add button or pressing the "A" key on the keyboard.
- You can also delete records by selecting the record and clicking the Delete button or pressing the "D" key on the keyboard.

Scroll:

- When the information on the screen extends beyond the limits of the window, horizontal and/or vertical scroll bars will allow you to move the grid to see all the information.

**Step 7:** When you have entered all necessary information, close the form window. Click the "Validation" tab located at the top of the screen then click the "Validate" button located at the bottom of the screen. All your entries will be validated by the rules of each form.

Step 8a: If there are no errors, the "Create Form(s)" button will appear. Click the "Create Forms(s)" button to generate the physical forms you will print (in Step 9), sign, and return to your point of contact. This process also generates a file with an ".XML" extension that will be recorded on the diskette in the A: drive of your computer.

**IMPORTANT:** If there is no diskette in the "A:" drive, the .XML file will not be created. This diskette with the file are required to be returned to the IRS along with the paper forms generated by this process.

Step 8b: If an error is found during the validation process, it will be listed in the content section of the Validation tab and the "Print Errors" button will be enabled. You can review the errors on the screen and/or click the "Print Errors" button to send the list of errors to your printer. To correct errors detected while validating, open the form window (See Step 5), navigate to the proper section, and make the appropriate change(s) (See Step 6). If an error(s) is listed under the Applicant section during validation, click the Applicant tab to make the appropriate corrections. After all corrections have been made return to Step 7 and follow instructions to validate.

Step 9: Once the forms have been generated, the "View Forms" tab will be enabled. This tab has links to the forms that have been generated. (Forms that have not been generated will not be enabled and will be labeled "Not Available".) Click each available link in turn to open the form in your word processor (any word processor capable of handling Rich Text Format files which you have installed on your computer can be used).

**IMPORTANT:** Do not save the form as a Word or Acrobat file unless you want it for personal use. If saving for personal use, save to a different diskette. When you exit SFA, the form will automatically be saved in the correct format.

Step 10: Print and sign the form(s) and return the original signed forms to your point of contact.

Step 11: To exit this program, click the "Exit SFA" button or choose Exit SFA from the File menu and return diskette, along with other required forms, to your point of contact.

Data files are not to be modified or altered with or by any applications except for the SFA application. Doing so would violate the integrity of the data and cause critical errors during SFA processing.

A form cannot be printed if there are errors, or if it has not been validated.

When there are no errors and you have generated the forms, the "View Forms" tab will be enabled. From there you can print your forms.

Clicking the "Create Forms" button causes the SFA application to merge the data you entered in your forms with SFA form templates, to create files suitable for printing.

The SFA application will also generate a file that will be recorded on the diskette in the A: drive of your computer. This file's name will have an ".XML" extension.

**IMPORTANT:** If there is no diskette in the A: drive, the .XML file will not be created. This file is required to be sent to the IRS along with the paper forms. See the IRS Deployment instructions for more information about this topic.

Click on the View Forms tab to view and print the paper forms that were generated.

The SFA application produces one of the following .DOC files. This Word file is what you will print. The SFA application also produces an .XML file that is used by the IRS.

- 999-99-9999-sf86.doc - Standard Form 86 Rich Text Format file
- 999-99-9999-sf85.doc - Standard Form 85 Rich Text Format file
- 999-99-9999-sf85p.doc - Standard Form 85-P Rich Text Format file
- 999-99-9999-sf85ps.doc - Standard Form 85-PS Rich Text Format file

**NOTE:** In each case "999-99-9999" will be replaced with your SSN.

Once the forms have been generated (see the instructions for the Validation tab), click on the "View Forms" tab.

The View Forms tab has links to all the forms that have been generated. (Forms that have not been generated will not be enabled and will be labeled "Not Available".)

When a .DOC file has been created for a SFA form, the file's name will be an active link to open that file. Click this link to open the file in your word processor.

To view the \*.doc files generated by SFA, you must have a word processing program installed on your computer. This word processing program must be capable of reading Rich Text Format (RTF) files. Suitable word processors include:

- Microsoft Word 95 or newer.
- Word Perfect 7.0 or newer.
- Any word processor compatible with the Rich Text Format specification.

Also, your word processor must be associated (in Windows) with files that have a ".DOC" filename extension.

If your word processor asks for your input before converting the \*.doc file, indicate that it is a Rich Text Format file.

Before sending your diskette to your point of contact, verify that it contains this file:

999-99-9999Data.xml --This file name will contain your SSN in place of "999-99-9999".

Once the forms are printed and signed, return the entire package to your point of contact. (This includes the diskette and the forms with an original signature.) You want to keep a copy of your forms for your records.

## SFA DETAIL

The "New" command allows you to create a new user profile needed for completing the SFA program and the forms for your background investigation.

Click the "New" button or choose New from the File menu. A dialog box ("New Form Set For :") will appear.

- Enter your Social Security Number (SSN).
- Re-enter it in the "Confirm SSN" field to guard against errors.
- Choose a password and enter it in the "Password" field.
- Re-enter your password in the "Confirm Password" field to guard against errors.
- Click the "OK" button.

NOTE: If you have previously entered this information, do not use the "New" command to return to your forms, use the "Open" command.

All fields in the "New Form Set For:" dialog box are required for a new user profile to be created:

SSN: This field should contain your complete social security number.

Confirm SSN: This field should contain the same SSN you provided above. If there is any difference, you will be notified of the error.

Password: Choose an identifier for authenticating your login attempts. This password should be something you can remember for future use.

Confirm Password: This field should contain the same value you provided in the Password field. If there is a difference, you will be notified of the error.

NOTE: If any one of these fields is blank, you will be notified of the error when you click the "OK" button.

The "Open" command allows you to re-open your previously created user profile and return to edit or complete any forms you have worked on.

Click the "Open" button or choose Open from the File menu. A dialog box ("Open Fileset For :") will appear.

- Enter your Social Security Number (SSN).
- Enter your Password.
- Click the "OK" button.

NOTE: If you have not previously entered this information, use the New command to create a new fileset for your data.

Both fields in the "Open Fileset For :" dialog box are required to open your user profile.

SSN: This field should contain your complete social security number.

Password: The identifier you chose earlier.

NOTE: If either of these fields are blank or contain the wrong information, you will be notified of the error when you click the "OK" button.

The Source Form Automation application can be categorized into five sections.

- 1) Menu Bar: The File menu provides options for creating a new user profile, opening an existing user profile, and exiting this SFA application.
- 2) Navigation Panel: The column at the far left provides clickable controls for creating a new user profile, opening an existing user profile (these two buttons duplicate the commands in the File menu), choosing one Standard Form, and choosing one or more Optional Forms. The buttons at the lower left allow you to go to the forms you have chosen.
- 3) Tabs: Functions related to all forms are organized into seven tabs, at the top of this window. (Descriptions of each tab are provided in separate nodes of the tree at the left.)
- 4) Form Windows: Each form is opened in a new window when you click its button at the lower left. You then enter your personal data in the open form.
- 5) Exit SFA button: Provides a clickable control duplicating the Exit SFA command in the File menu.

The Instructions tab provides you with these instructions on how to use this Source Form Automation application. To view instructions click on the topic. If a plus sign appears in front of the topic, additional topics can be show by clicking on the plus sign.

The Applicant tab is where you enter your general personal data. This will apply to all forms you fill in.

The Record Release tab contains the record release information about you and your activities be released to investigators.

This will print when the forms are created and must be signed and returned with your paper forms and diskette.

The Privacy Act tab provides the necessary Privacy Act and Public Burden statements for your information.

The Certification tab provides a statement which you must read and certify your compliance with.

Provide your certification by clicking in the checkbox and entering the date of your certification.

Enter the date in Month/Day/Year format in which you certified your answers. Separate each portion with a slash (/) character. Use numbers (1-12) to indicate months. For example, June 10, 2003, should be entered as 6/10/03.

The Validation tab provides the command to check all your entries on all forms, to verify that you have provided all necessary information. This tab also displays a list of errors found in your forms.

When there are no errors and you have generated the forms, the "View Forms" tab will be enabled. From there you can print your forms.

Following are the Standard and Optional Forms that can be completed using this software. Complete only the forms that you were instructed to complete.

Standard Forms:

- SF86, Questionnaire for National Security Positions
- SF85, Questionnaire for Non-Sensitive Positions
- SF85P, Questionnaire for Public Trust Positions

Optional Form:

- SF85PS, Supplemental Questionnaire for Selected Positions (only available when Standard Form SF85P has been selected)

Each form entry window lists the sections on the left side and the questions on the right. To move from one section to another, both use your mouse and select the section you want to view or use the navigational buttons beneath the tree of sections. The previous button [ << ] will take you to the previous section from the current section and the next button [ >> ] will take you to the next section from the current section.

## INSTRUCTIONS FOR SF-86 (EG), QUESTIONNAIRE FOR NATIONAL SECURITY POSITIONS

### Required Fields:

You must provide information for these fields:

- Date of Birth
- Place of birth (City only)
- Other identifying information
- Citizenship status (8a)
- Mothers Maiden Name (8b)
- Residence (Date, Street address)
- Reference Information
- Marital Status
- Relatives
- Selective Service Questions
- Military History Questions
- Foreign Activities Questions
- Medical Record Questions
- Employment History Question
- Investigations Record Questions
- Police Record Question
- Illegal Drug Questions
- Use of Alcohol Question
- Financial Record Questions
- Financial Delinquency Questions
- Public Record Civil Court Actions
- Association Record

### Conditional Requirements

Additional information may be required, depending on your answers to certain questions:

#### Citizenship:

- If the answer to Citizenship status is "US Citizen by birth", then Mother's Maiden Name and Dual Citizenship must be answered. In this case, United States Citizenship proof and Alien information cannot be answered.
- If the answer to Citizenship status is "US Citizen not by birth", then Mother's Maiden Name, Citizenship Proof, and Dual Citizenship must be answered. In this case, Alien information cannot be answered.
- If the answer to Citizenship status is "Not a US Citizen", then Mother's Maiden Name and Alien Information must be answered. In this case, United States Citizenship proof and Dual Citizenship cannot be answered.

#### Residence:

- Ensure there are no gaps of more than four months in the date ranges in the residence section.
- You must supply reference information for any residence within the past five years.
- You must supply directions if the residence is hard to find, a General Delivery, a Rural Route, or a Star Route.
- Information must cover the past seven years.

#### Employment:

- Ensure there are no gaps of more than four months in the date ranges in the employment section.
- You must supply firing details if you were fired from a job listed in the employment section.
- You must supply information going back seven years or until your 18th birthday.

#### Marital Information:

- If your answer to Marital Status is "Married", "Separated", or "Legally Separated", entry of Spouse information is required.
- If your answer to Marital Status is "Separated" or "Legally Separated", entry of separation date is required.
- If your answer to Marital Status is "Legally Separated", entry of Separation information is required.
- If you answered "Never Married", or "Widowed" to Marital Status, entry of Spouse, Separation Date, or Separation information is not required.
- If you answered "Married" to Marital Status, entry of Separation Date or Separation information is not required.

#### Relatives:

- You must enter information for "Mother" and "Father".
- Current address information is not required if the relative is deceased.

#### Military:

- If you have served in the military, you must supply military service information.
- If the military service falls within the last seven years, it must be added to the employment section of the application.
- You must supply and can only supply military discharge information if the answer to the "dishonorable discharge" question is "yes".

#### Selective Service Information:

- If you are a male born after December 31, 1959, "Did you register" must be answered.
- You must supply and can only supply a registration number if you answered yes to "did you register".

- You must supply and can only supply an explanation if you answered "no" to "did you register".
- If you are not a male born after December 31, 1959, "Have you registered" and Registration information is not required.

#### Investigation Record:

- You must supply and can only supply investigation details if you answered "yes" to "have you been investigated".
- You must supply and can only supply denial information if you answered "yes" to "clearance was denied".

#### Police Record:

- You must supply and can only supply arrest details if you answered "yes" to "have you been arrested".

#### Illegal Drugs:

- You must supply and can only supply drug use details if you answered "yes" to "have you done drugs".

#### Financial Record:

- You must supply and can only supply bankruptcy details if the answer to Involved in Bankruptcy is "yes".
- You must supply and can only supply delinquency details if the answer to "Do you have delinquent accounts or bad debt" is "yes".

#### Foreign Activities:

- You must supply and can only supply foreign firm/government information details if the answer to "any foreign activities" questions is "yes".

#### Medical Record:

- You must supply and can only supply medical history information if the answer to the "mental health counseling" question is "yes".

#### Alcohol:

- You must supply and can only supply alcohol use details if you answered "yes" to "have you needed alcohol counseling".

#### Public Record Civil Court Actions:

- You must supply and can only supply court details if you answered "yes" to "have you had any Public Record Civil Court Actions that involve you".

#### Associations:

- You must supply an explanation if you answered "yes" to either of the "government overthrow" questions.

## INSTRUCTIONS FOR STANDARD FORM 85, QUESTIONNAIRE FOR NON-SENSITIVE POSITIONS

### Required Fields

You must provide information for these fields:

- Date of Birth
- Place of birth (City only)
- Sex
- Citizenship status (7a)
- Mothers Maiden Name (7b)
- Residence (Date, Street address)
- Reference Information
- Selective Service Questions
- Military History Questions
- Illegal Drug Questions

### Conditional Requirements

Additional information may be required, depending on your answers to certain questions:

#### Citizenship:

- If the answer to Citizenship status is "US Citizen by birth", then Mother's Maiden Name and Dual Citizenship must be answered. In this case, United States Citizenship proof and Alien information cannot be answered.
- If the answer to Citizenship status is "US Citizen not by birth", then Mother's Maiden Name, Citizenship Proof, and Dual Citizenship must be answered. In this case, Alien information cannot be answered.
- If the answer to Citizenship status is "Not a US Citizen", then Mother's Maiden Name and Alien Information must be answered. In this case, United States Citizenship proof and Dual Citizenship cannot be answered.

#### Selective Service Information

- "Did you register" must be answered if you are a male born after December 31, 1959.
- "Have you registered" and "Registration information" is not required if you are not a male born after December 31, 1959
- You must supply and can only supply a registration number if you answered yes to "did you register". The registration number entered can be "unknown".
- You must supply and can only supply an explanation if you answered "no" to "did you register".

#### Illegal Drugs:

- You must supply and can only supply drug use details if you answered "yes" to "have you done drugs".

Residence:

- Ensure there are no gaps of more than six months in the date ranges in the residence section.
- You must supply reference information for any residence within the past three years.
- Information must cover the past five years.

Employment:

- Ensure there are no gaps of more than six months in the date ranges in the employment section.
- You must supply information going back five years or until your 18th birthday.

Military:

- You must supply military service information if you have served in the military.
- If your military service falls within the last seven years, it must be added to the employment section of the application.

## INSTRUCTIONS FOR STANDARD FORM 85P QUESTIONNAIRE FOR PUBLIC TRUST POSITIONS

### Required Fields

You must provide information for these fields:

- Date of Birth
- Place of birth (City only)
- Other identifying information
- Citizenship status (8a)
- Mothers Maiden Name (8b)
- Residence (Date, Street address)
- Reference Information
- Marital Status
- Relatives
- Selective Service Questions
- Military History Questions
- Investigations Record Questions
- Police Record Question
- Illegal Drug Questions
- Financial Record Questions

### Conditional Requirements

Additional information may be required, depending on your answers to certain questions:

#### Citizenship:

- If the answer to Citizenship status is "US Citizen by birth", then Mother's Maiden Name and Dual Citizenship must be answered. In this case, United States Citizenship proof and Alien information cannot be answered.
- If the answer to Citizenship status is "US Citizen not by birth", then Mother's Maiden Name, Citizenship Proof, and Dual Citizenship must be answered. In this case, Alien information cannot be answered.
- If the answer to Citizenship status is "Not a US Citizen", then Mother's Maiden Name and Alien Information must be answered. In this case, United States Citizenship proof and Dual Citizenship cannot be answered.

#### Residence:

- Ensure there are no gaps of more than four months in the date ranges in the residence section.
- You must supply reference information for any residence within the past five years.
- You must supply directions if the residence is hard to find, a General Delivery, a Rural Route, or a Star Route.
- Information must cover the past seven years.

#### Employment:

- Ensure there are no gaps of more than four months in the date ranges in the employment section.
- You must supply firing details if you were fired from a job listed in the employment section.
- You must supply information going back seven years or until your 18th birthday.

#### Marital Information:

- If your answer to Marital Status is "Married", "Separated", or "Legally Separated", entry of Spouse information is required.
- If your answer to Marital Status is "Separated" or "Legally Separated", entry of separation date is required.
- If your answer to Marital Status is "Legally Separated", entry of Separation information is required.
- If you answered "Never Married", or "Widowed" to Marital Status, entry of Spouse, Separation Date, or Separation information is not required.
- If you answered "Married" to Marital Status, entry of Separation Date or Separation information is not required.

#### Relatives:

- You must enter information for "Mother" and "Father".
- Current address information is not required if the relative is deceased.

#### Military:

- You must supply military service information if you have served in the military.
- If your military service falls within the last seven years, it must be added to the employment section of the application.

#### Selective Service Information:

- If you are a male born after December 31, 1959, "Did you register" must be answered.
- You must supply and can only supply a registration number if you answered yes to "did you register".
- You must supply and can only supply an explanation if you answered "no" to "did you register".
- If you are not a male born after December 31, 1959, "Have you registered" and Registration information is not required.

#### Investigation Record:

- You must supply and can only supply investigation details if you answered "yes" to "have you been investigated".
- You must supply and can only supply denial information if you answered "yes" to "clearance was denied".

Police Record:

- You must supply and can only supply arrest details if you answered "yes" to "have you been arrested".

Illegal Drugs:

- You must supply and can only supply drug use details if you answered "yes" to "have you done drugs".

Financial Record:

- You must supply and can only supply bankruptcy details if the answer to Involved in Bankruptcy is "yes".
- You must supply and can only supply delinquency details if the answer to "Do you have delinquent accounts" is "yes".

INSTRUCTIONS FOR STANDARD FORM 85PS (EG), SUPPLEMENTAL  
QUESTIONNAIRE FOR SELECTED POSITIONS

Required Fields

You must provide information for these fields:

- Illegal Drug Questions
- Use of Alcohol Question
- Medical Record Question

Conditional Requirements

Additional information may be required, depending on your answers to certain questions:

Illegal Drugs:

- You must supply and can only supply drug use details if you answered "yes" to either of the "Illegal Drug" questions.

Alcohol:

- You must supply and can only supply alcohol use details if you answered "yes" to "have you needed alcohol counseling".

Medical Record:

- You must supply and can only supply medical history information if the answer to the "mental health counseling" question is "yes".